National Risk Management Research Laboratory Environmental Technology Verification Funding Announcement

ANNOUNCEMENT TYPE: Initial

FUNDING INSTRUMENT: Cooperative Agreement

NUMBER: EPA-ORD-NRMRL-CI-08-01

DATES:

OPENING DATE: December 12, 2007

CLOSING DATE: January 28, 2008

The closing date and time for postmark of applications or electronic receipt of applications is <u>January 28</u>, <u>2008</u>, at 4:30 p.m. <u>EST</u>. All applications must be post marked or submitted thru Grants.gov as described in Section IV., by the closing date and time to receive consideration. No late proposals will be accepted.

To allow efficient management of the competitive process, EPA requests submittal of an informal notice of an "Intent to Apply," by <u>January 7, 2008</u>. Submission of "Intent to Apply" is optional; it is a process management tool that will allow EPA to better anticipate the total staff time required for efficient review, evaluation, and selection of submitted proposals.

TITLE: Environmental Technology Verification (ETV) Centers

ACTION: Request for Applications (RFA)

CATEGORY OF FUNDING: Environment

NUMBER OF EXPECTED AWARDS: Five

This notice solicits assistance applications to operate five Environmental Technology Verification (ETV) Centers (Greenhouse Gas Technology Center (GHG); Drinking Water Systems Center (DWS); Water Quality Protection Center (WQP); Air Pollution Control Technology Center (APCT); and Materials Management and Remediation Center (MMR)).

CEILING: Up to \$3,000,000 per agreement (up to \$15,000,000 for all ETV Centers)

EPA anticipates awarding up to five separate cooperative agreements (one for each of the five technology Centers being competed) from this announcement. Funding for each ETV Center is anticipated up to \$1,000,000 per year and up to \$3,000,000 over the three year period of performance. However, due to potential budget constraints, funding of the ETV Centers is uncertain and therefore the amount of funding for

each center is subject to the availability of funding. However, some ETV Centers have funding levels that are expected for specific types of activities. Each Center's expected funding is set forth in Section II.A.

While funding of these agreements is subject to the availability of funds, EPA provides non-monetary support to cooperators through technical Quality Assurance. Furthermore, each Center has the right to generate program income (see Section III.C. of this announcement). Program income means gross income earned by the recipient that is directly generated by the EPA supported activity or earned as a result of the award during the project period. In the past, centers have generated program income from sources under the agreement through fees charged to vendors for verification testing of their technologies.

COST SHARING OR

MATCHING: Cost sharing is not required by statute or regulation; however, voluntary

cost sharing will be evaluated in accordance with evaluation criteria set

forth in Section V.

PROGRAM INCOME: The applicant's ability to generate program income is an eligibility

criterion set forth in Section III.C. Furthermore, the extent to which applicants propose generation of program income will be evaluated in

accordance with the evaluation criteria set forth in Section V.

The recipient will have the opportunity to generate program income from sources under each of the five ETV Centers. Rough per year averages over the past four years including in-kind and cash are as follows: APCT (\$300K); DWS (\$225K); GHG (\$270K); WQP (\$375K); MMR (no historical data). While program income is part of ETV agreements, EPA does not guarantee specified levels of program income (see Section III.C).

GEOSPATIAL INFORMATION: Not Applicable

ELIGIBILITY INFORMATION: Programs under CFDA 66.511 are available to each State, territory and possession, and Tribal nation of the United States, including the District of Columbia, for public and private State universities and colleges, hospitals, laboratories, State and local government departments, and other public or private nonprofit institutions and in some cases, individuals who have demonstrated unusually high scientific ability. **Profit-making firms are not eligible to receive awards under this announcement.** Eligible nonprofit organizations include any organizations that meet the definition of nonprofit in OMB Circular A-122. However, nonprofit organizations described in Section 501(c)(4) of the Internal Revenue Code that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995 are not eligible to apply. Universities and educational institutions must be subject to OMB Circular A-21.

FEDERAL AGENCY: ENVIRONMENTAL PROTECTION AGENCY (EPA), National Risk

Management Research Laboratory, Water Supply Water Resources Division, Air Pollution, Prevention and Control Division, and Land

Remediation and Pollution Control Division

DESCRIPTION: The goal of the ETV Centers is to provide objective, quality-assured performance verifications of technologies across a broad spectrum of environmental technology categories. Through operation of the ETV Centers, cooperators will help organizations, industries, businesses, states, communities, and individuals make better-informed decisions when selecting new environmental technologies. Applicants who propose on multiple Centers must submit a separate application for each Center (see Threshold Eligibility Criteria, Section III.C.3). EPA will not consider applications for more than one Center that are consolidated in a single proposal. Applications for funding for more than one Center that are not separate will be rejected.

CONTENTS BY SECTION

- I. Funding Opportunity Description and Information
- II. Award Information
- III. Eligibility Information
- IV. Application and Submission Information
- V. Application Review Information
- VI. Award Administration Information
- VII. Agency Contacts
- VIII. Other Information

Application Materials

You may submit either a printed application or an electronic application (but not both) for this announcement. The printed application must be submitted for the Center of interest to the address as specified in Section IV.C. To apply electronically, the electronic application package available through the http://www.grants.gov/ web site must be used. If your organization is not currently registered with Grants.gov, you need to allow approximately one week for completion of the registration process. This registration, and electronic submission of your application, must be performed by an appropriate representative of your organization.

Agency Contact Person for Electronic Access Problem

Cynthia Johnson, phone: (513) 569-7873 e-mail: Johnson.cynthia@epa.gov

FULL TEXT OF ANNOUNCEMENT Environmental Technology Verification

I. FUNDING OPPORTUNITY DESCRIPTION

A. Background

The Environmental Technology Verification Program (ETV) has been providing technical and financial support to cooperators since October 1995 with the goal of assisting them in helping public entities such as organizations, industries, businesses, states, communities, and individuals, make better informed decisions when selecting new environmental technologies. Five ETV Centers are currently operating under financial assistance from EPA. EPA is soliciting assistance applications for competition of four of the current centers whose agreements are expiring in the near future, (Greenhouse Gas Technology Center (GHG); Drinking Water Systems Center (DWS); Water Quality Protection Center (WQP); Air Pollution Control Technology Center (APCT)). In addition, applications are being sought for design and operation of a new Center (Materials Management and Remediation (MMR)). Cooperator organizations will design and operate the ETV Centers by carrying out their respective quality management plans (QMP), and as a result, provide the public with objective, quality-assured performance verifications of technologies across a broad spectrum of environmental technology categories.

ETV cooperators gain the active participation of environmental technology information customers convened into separate stakeholder groups. Stakeholders are selected by recipient organizations to represent the interests of technology developers, technology buyers, consulting engineers, academia, financial interests, industry associations, public interest groups, local governments, etc. The stakeholder groups help cooperators develop priority technology categories, develop test protocols and plans, review test reports and identify collaboration for verification projects. Vendors voluntarily submit their technologies for testing and routinely pay a significant portion of the verification costs through bilateral agreements with the ETV cooperators. The funds that cooperators receive from vendors for testing are considered program income.

EPA provides technical and quality assurance support for the cooperator's activities, as well as extensive program outreach and management of the ETV web site. Program results have been widely used by vendors in selling their technologies, purchasers in making purchase decisions, and state regulators in permitting environmental technologies. The ETV Program has gained national and international acceptance as an important means of evaluating commercial-ready environmental technology. All clients of verification information have come to expect high quality and timely results that can be trusted.

B. Description

The US EPA Office of Research and Development (ORD) provides quality assurance and technical support for the Environmental Technology Verification (ETV) Program. The ETV Centers will produce credible data concerning market-ready environmental technologies using protocols and test/QA plans developed by ETV cooperators with input from the stakeholders and through collaboration with EPA. The ETV Center cooperator's mission must target the evaluation of commercial-ready technologies with potential to address high-risk environmental problems. Quality assurance, leveraging additional funds, transparency, and stakeholder involvement have been fundamental operating principles of ETV Center cooperators. Technology categories are prioritized based on the importance of the problems the cooperator wants to address, commercial availability, availability of test methods, interest of developers/vendors to pay verification costs, and the potential market demand for technology.

Technology areas currently addressed by the ETV Center Cooperators can be viewed at ETV Program's web site at: http://www.epa.gov/etv/

Following is a historical/current description of each Centers' operation. Applicants may use this information as a guide in designing ETV Centers:

<u>Air Pollution Control Technology (APCT) Center:</u> This center evaluates promising control technologies for stationary and mobile air pollution sources and mitigation techniques for indoor air pollution, subjects them to independent third-party performance testing, and provides performance results to the public. Technology areas that the APCT Center has historically addressed can be found on the ETV web site at http://epa.gov/etv/center-apc.html. Although the APCT Center focuses on the air pollution impacts, energy efficiency impacts are evaluated as a side benefit of emission testing. Please see http://epa.gov/etv/center-apc.html for historical outputs and interest areas of the APCT.

ETV Greenhouse Gas Technology Center (GHG): This Center verifies promising GHG (e.g., CO₂, methane, etc) mitigation technologies as well as energy efficient alternatives, subjects them to independent third-party performance testing, and provides performance results to the public. Historical technology categories that the center has verified can be viewed on the ETV website at http://epa.gov/etv/center-ggt.html. Although the GHG Center focuses on greenhouse gas emission reduction and energy efficiency, impacts of reducing other air pollutants are evaluated as a side benefit of greenhouse gas reduction and energy efficiency testing.

<u>Water Quality Protection Center (WQP):</u> The WQP Center addresses technologies for protecting both surface water and groundwater from contamination, including, but not limited to: wastewater treatment and nutrient reduction systems for residential applications; animal waste treatment systems; stormwater treatment systems and technologies for water reuse applications. The Center also addresses urban infrastructure rehabilitation technologies, and ship ballast water treatment technologies. Please see http://epa.gov/etv/center-wqp.html for historical outputs and interest areas of the WQP.

<u>Drinking Water Systems Center (DWS):</u> The DWS Center evaluates the performance of drinking water treatment package and mobile systems, Point-of-Entry (POE) and Point-of Use (POU) technologies. The DWS Center has targeted drinking water concerns such as arsenic reduction, microbiological contaminants, particulate removal, disinfection by-products, radionuclides, and other chemical contaminants. Additional verification activities for drinking water infrastructure technologies are also expected. Please see http://epa.gov/etv/center-dws.html for historical outputs and interest areas of the DWS.

Materials Management and Remediation (MMR) Center: Materials Management and Remediation (MMR) Center: The Materials Management and Remediation Center is a new center being created in 2008. The proposed center would verify materials management technologies, including recycling, beneficial use of waste materials, recovery of useful components of wastes, and treatments to minimize disposal requirements (e.g., containment, volume, cost). The center would also verify technologies to remediate contaminated land and ground water, such as is found at Superfund sites and other properties where industrial or commercial activities resulted in a legacy of hazardous constituents that limits future use of the property. Applicants should propose emphasis areas based on their understanding of such factors as:

- Technology types in active development and technology segments in stable or growth phase ("vendor push")
- Materials stream volume, risks, and suitability for secondary use
- Waste and/or site types for which cost-effective options are lacking
- Known client needs where verification would help in decision-making ("customer pull")
- Absence of existing certification/verification/demonstration opportunities

Under this Center, the recipient will conduct verification testing at recipient's facility or oversee testing performed by field testing organizations and resolve problems as may be encountered. The result will be validated environmental technology into the commercial market place to solve environmental problems.

Description of historical activities associated with all ETV Center operations

The cooperator functions as the ETV Center verification partner organization. Activities and responsibilities of the Center's verification organization include establishing a stakeholder group and technical panels to help in prioritizing technology categories to verify and help in developing testing protocols. The protocols are increasing in scope to meet stakeholder and sustainability needs. The Centers develop performance metrics for testing as well as sustainability metrics for helping evaluate long term and cross media impacts of the technologies. The Centers also manage and arrange contractual agreements with vendors for testing, manage technology testing and information collection, and write ETV reports and summary statements. EPA is not a party

to the contracts between the Centers and the technology vendors. The Centers seek co-funding and in-kind support for verification by establishing collaborations with interested parties, such as state and local government, and trade organizations to help defray cost of verification. The Centers provide outreach for Center activities and track outcomes for Center impact. The Centers also help make ETV internationally relevant by establishing relationships with several other ETV organizations formed and forming in other countries and regions of the world.

Additional activities and responsibilities generally performed by Centers are described in the ETV Quality Management Plan (QMP), (http://www.epa.gov/etv/pubs/ETV_02_QMP.pdf) (62 pp, 3.25 MB). This document sets forth management systems and collection and evaluation of environmental data procedures for the ETV program. The ETV Logo Use Guidelines contains guidelines for using the logo ETV name and logo. This document is used in tandem with the ETV QMP to assist cooperators with program operation. Each applicant will be responsible for proposing a QMP and operating the ETV Center in accordance with the approved QMP.

Description of Program Income: Program income means gross income earned by the recipient that is directly generated by the EPA supported activity or earned as a result of the award during the project period. In the past, ETV Centers have generated program income from sources under the agreement through fees charged to vendors for verification testing of their technologies. Program income may be a method of cost sharing. It is generated from revenue involving federal or non-federal contracts or agreements with the recipient organization. Program Income will be used to carry out eligible and allowable project or program objectives. Program Income is very important because award of this new cooperative agreement shall not guarantee funding by the US EPA. Funding for each center up to \$1,000,000 per year and up to \$3,000,000 over a three year period of performance is subject to the availability of funding. The cooperative agreement recipient(s) must anticipate and plan for funding of activities under the assistance agreement to be covered by program income generated from sources such as vendors/manufacturers or other partners and collaborators. A statement concerning program income must be added to the budget justification, and estimated dollar amounts must be included in the appropriate categories in the budget table. (see Section III of this announcement).

Examples of Program Income: A very important activity for the recipient organization is the solicitation of technology developer/vendor proposals or developer/vendor products for evaluation, and to develop agreements for verification tests with technology developers/vendors and other collaborators, including cost-sharing agreements. Revenues from contracts with vendors paying for verification testing would be an example of program income. Other examples are set forth below. These are not set forth for recipient's to propose but as information to assist with application preparation:

- 1. Federal organization contracts with recipient organization to develop ETV protocol for lead test kits.
- 2. Scientific Council provides funds (via contract or grant) to recipient organization to help pay for verification of remote sensing devices.

- 3. State organization contracts with recipient to verify 5 distributed generation power facilities.
- 4. Federal organization contracts with recipient organization to verify a monitor for screening ballast water exchange.
- 5. Federal organization offers facility and lab analytical services to verify ammonia and hydrogen sulfide continuous emission monitors (CEMs).
- 6. State organization provides grants to recipient organization to verify mercury CEMs.
- 7. EPA Region provides funds via contract to recipient organization to help verify estrogen detection kits.
- C. Environmental Results (EPA Strategic Plan Linkage and Anticipated Outcomes/Outputs):

Linkage to EPA Strategic Plan (see http://www.epa.gov/ocfo/plan/plan.htm). Tasks under all Centers support the EPA Strategic Plan's Goal 5 "Compliance and Environmental Stewardship;" Objective 5.4, "Enhance Society's Capacity for Sustainability through Science and Research."

Also supported by ETV are the following goals:

Greenhouse Gas Technology Center; Air Pollution Control Technology Center:

Goal 1, "Clean Air and Global Climate;" Objective 1.6, "Enhance Science and Research."

<u>Drinking Water Systems Center; Water Quality Protection Center:</u>

Goal 2 "Clean and Safe Water;" Objective 2.3, "Enhance Science and Research."

Materials Management and Remediation Center (MMR)

Goal 3, "Land Preservation and Restoration;" Objective 3.3, "Enhance Science and Research."

Goal 4, "Healthy Communities and Ecosystems;" Objective 4.4, "Enhance Science and Research."

1. Outputs. The term "output" means an environmental activity, effort, and/or associated work product related to an environmental goal and objective that will be produced or provided over a period of time or by a specified date. Outputs may be quantitative or qualitative but must be measurable during an assistance agreement funding period. Applicant's proposal will be evaluated on the extent it includes anticipated outputs (see Section V). Expected outputs from the project(s) to be funded under this announcement may include the following:

<u>Anticipated outputs</u>. Anticipated outputs include a minimum of three published verification reports and statements for technologies within the scope of the center, assuming that funding is generated through program income. Additional studies and reports would be expected if EPA funding is provided in the assistance agreement to supplement the program generated income.

Other outputs of agreements resulting of this announcement will consist of generic verification protocols, test/QA plans, verification statements, and verification reports on the results of testing to verify performance of environmental technologies.

Outreach to users of the outputs is a significant activity under the ETV Program. It should be anticipated that annually several public presentations be made to stakeholders and user groups concerning the activities and current studies conducted by the Center.

Quarterly progress reports and a final report will also be a required output, as specified in Section VI(C) of this announcement, "Reporting Requirement."

2. Outcomes. The term "outcome" means the result, effect or consequence that will occur from carrying out an environmental program or activity that is related to an environmental or programmatic goal or objective. Outcomes may be environmental, behavioral, health-related, or programmatic in nature, but must be quantitative. They may not necessarily be achievable within an assistance agreement funding period. Applicant's proposals will be evaluated on the extent it includes anticipated outcomes (see Section V). Projects to be funded under this announcement are expected to produce one or more of the following environmental outcomes:

Anticipated outcomes

Intermediate outcomes from the Center's efforts are anticipated concerning: pollutant or emission reduction, resource conservation, financial and economic, regulatory compliance, technology use and acceptance, and scientific advancement. The cooperative agreement recipients shall also track outcome impact incidents using a reporting database that is currently being prepared by EPA under the ETV Program. Long term outcomes such as environmental and public health improvements are also anticipated but will probably require a longer time horizon than the agreement life to demonstrate.

D. Statutory Authorities:

Drinking Water Systems Center

The Safe Drinking Water Act (SDWA), as Amended, Section 1442 allows for the award of assistance for research, investigations, training, demonstrations, etc. for projects providing for a dependably safe supply of drinking water to the public.

Under this Center's agreements, the recipient(s) scope of the effort addresses the performance and cost evaluation of drinking water equipment to enhance communities in meeting the requirements of the Safe Drinking Water Act.

Water Quality Protection Center

The Clean Water Act (CWA) Section 104 (b) allows for the award of assistance for research, investigations, experiments, training, demonstrations, etc. for projects relating to the causes, effects, extent, prevention, reduction and elimination of water pollution. The Safe Drinking Water Act (SDWA), as Amended Section 1442 allows for the award of assistance for research, investigations, training, demonstrations, etc. for projects providing for a dependably safe supply of drinking water to the public.

CWA: The verification and testing to be conducted under this Center's agreement determines the effectiveness of technologies to treat and control wet weather flow pollution and thereby reduce the amount of pollutants entering surface and ground waters.

SDWA: The Center's activities are also responsive to the SDWA by accelerating the acceptance of technologies by both public and private sectors that would assist in protecting waters used as sources of drinking water from contamination.

Greenhouse Gas Technology Center

The statutory authority for funding this assistance agreement is found in the Clean Air Act – Section 103 (b). The statute authorizes research, investigations, demonstration, experiments, and studies. This statute authorizes the Administrator to make grants to conduct and promote the coordination and acceleration of projects relating to the causes, effects, extent, prevention and control of air pollution.

The testing to be conducted under this Center's agreement determines the effectiveness of technologies to reduce emissions of greenhouse gases.

Air Pollution Control Technology Center

The statutory authority for funding this Center's assistance agreement is found in the Clean Air Act – Section 103 (b). The statute authorizes research, investigations, demonstration, experiments, and studies. This statute authorizes the Administrator to make grants to conduct and promote the coordination and acceleration of projects relating to the causes, effects, extent, prevention and control of air pollution.

The testing to be conducted under this Center's agreement determines the effectiveness of technologies to reduce air pollution.

Materials Management and Remediation Center

The statutory authority for funding this Center's assistance agreement is found in the Solid Waste Disposal Act (SWDA), Section 8001.

SWDA: This statute authorizes assistance for experiments, surveys, investigations, research, demonstrations, training and studies. This statute authorizes the Administrator to make grants in the areas above for the support of projects related to solid waste.

The testing to be conducted under this Center's agreement will determine the effectiveness of technologies aimed at beneficial use of waste materials, remediation of contaminated land and ground water.

<u>National Environmental Policy Act (NEPA)</u>: NEPA is applicable to all Centers when work is performed internationally.

<u>NOTE</u>: NEPA §102 (2)(F) recognizes the worldwide and long-range character of environmental problems and, where consistent with the foreign policy of the United States, lend appropriate support to initiatives, resolutions, and programs designed to maximize international cooperation in anticipating and preventing a decline in the quality of the world environment.

E. Geospatial Information: Not Applicable

II. AWARD INFORMATION

A. Anticipated Funding: EPA anticipates awarding up to <u>five</u> separate cooperative agreements (one for each of the five technology Centers being competed) from this announcement. Funding for each ETV Center is anticipated at up to \$1,000,000 per year and up to \$3,000,000 over the three year period of performance. The total anticipated funding available under this announcement for all Centers is up to \$15,000,000. However, due to potential budget constraints, funding of the ETV Centers is uncertain and therefore **subject to the availability of**

funding. However, some ETV Centers have funding levels that are expected for specific types of activities. Each Center's expected funding is set forth as follows:

GHG: Funding for GHG may range up to \$1,000,000 per year for a maximum potential award of \$3,000,000 over the three year period of performance. However, EPA does not anticipate providing funds when this agreement is initially awarded. The successful applicant must be able to finance the Center through program income or other sources of funds.

DWS: Funding for DWS may range up to \$1,000,000 per year for a maximum potential award of \$3,000,000 over the three year period of performance. EPA anticipates that at the time of award \$100K per year for the first two years (\$200K total) will be available to support infrastructure verification activities. However, EPA does not anticipate providing other funds when this agreement is initially awarded. The successful applicant must be able to finance the Center through program income or other sources of funds.

WQP: Funding for WQP may range up to \$1,000,000 per year for a maximum potential award of \$3,000,000 over the three year period of performance. EPA anticipates that at the time of award \$250K per year for the first two years (\$500K total) will be available to support infrastructure verification activities. However, EPA does not anticipate providing other funds when this agreement is initially awarded. The successful applicant must be able to finance the Center through program income or other sources of funds.

APCT: Funding for APCT may range up to \$1,000,000 per year for a maximum potential award of \$3,000,000 over the three year period of performance. EPA anticipates that at the time of award \$750K per year for the first two years (\$1,500K total) is expected to be available for diesel retrofit verification activities. However, EPA does not anticipate providing other funds when this agreement is initially awarded. The successful applicant must be able to finance the Center through program income or other sources of funds.

MMR: Funding for MMR may range up to \$1,000,000 per year for a maximum potential award of \$3,000,000 over the three year period of performance. However, EPA does not anticipate providing funds when this agreement is initially awarded. The successful applicant must be able to finance the Center through program income or other sources of funds.

While funding of these agreements is subject **to the availability of funds,** EPA provides non-monetary support to the recipient through technical Quality Assurance. Furthermore, each Center must generate program income (see Section III.C). Both of these are deemed benefits to recipients operating ETV Centers. Therefore, something of value will be gained by recipients should EPA funding not be provided.

- B. Partial Funding. In appropriate circumstances, EPA reserves the right to partially fund applications by funding discrete portions or phases of proposed projects. If EPA decides to partially fund an application, it will do so in a manner that does not prejudice any applicants or affect the basis upon which the application or portion thereof was evaluated and selected for award, and therefore maintains the integrity of the competition and selection process.
- C. Program Income. Program income is generated from sources under the agreement through fees charged to vendors for verification testing of their technologies (see Section III.C.). Rough per year averages over the past four years including in-kind and cash are as follows: APCT (\$300K); DWS (\$225K); GHG (\$270K); WQP (\$375K); MMR (no data). EPA does not guarantee specified levels of program income.
- D. Number of Awards. EPA anticipates award of up to five cooperative agreements. In addition, EPA reserves the right to make additional awards under this announcement, consistent with Agency policy, if additional funding becomes available. Any additional selections for awards will be made no later than six months after the original selection date.
- E. Project Periods. The <u>estimated</u> project period for awards resulting from this solicitation will be as set forth below. The ETV awards will be made over a six month period from the date of receipt of proposals as set forth in the Overview and Section IV., of this announcement. The Centers are anticipated to have the following periods of performance:

<u>Greenhouse Gas Technology Center:</u> June 2008 – May 2011

Water Quality Protection Center: August 2008 – July 2011

<u>Drinking Water Systems Center:</u> June 2008 – May 2011

<u>Air Pollution Control Technology Center:</u> April 2008 – March 2011

Materials Management and Remediation Center: June 2008 – May 2011

F. Anticipated Federal Involvement

The funding for selected projects will be in the form of a cooperative agreement. Cooperative agreements permit substantial involvement between the EPA Project Officer and the selected applicants in the performance of the work supported. Although EPA will negotiate precise terms and conditions relating to substantial involvement as part of the award process, the anticipated substantial Federal involvement proposed by EPA for this project will be:

- Quality assurance support
- Posting of verification summary statements on EPA's ETV website if recipient's Quality Assurance Test Plan has been followed. Recipients must also post verification summary statements and reports on their own website.
- As otherwise noted in the Environmental Technology Verification Program Quality Management Plan, Section 1.2.7 and 1.2.15 available on line at http://www.epa.gov/etv/pubs/ETV_02_QMP.pdf.

III. ELIGIBILITY INFORMATION

- A. <u>Eligible Applicants:</u> Programs under CFDA 66.511 are available to each State, territory and possession, and Tribal nation of the United States, including the District of Columbia, for public and private State universities and colleges, hospitals, laboratories, State and local government departments, and other public or private nonprofit institutions and, in some cases, individuals who have demonstrated unusually high scientific ability. <u>Profit-making firms are not eligible to receive awards under this announcement</u>. Eligible nonprofit organizations include any organizations that meet the definition of nonprofit in OMB Circular A-122. However, nonprofit organizations described in Section 501(c)(4) of the Internal Revenue Code that engage in lobbying activities as defined in Section 3 of the Lobbying Disclosure Act of 1995 are not eligible to apply. Universities and educational institutions must be subject to OMB Circular A-21.
- B. Cost Sharing or Matching. Cost-sharing is not required by statute or regulation. However, voluntary cost sharing will be evaluated as part of the overall budget as set forth in Section V. A statement concerning cost-sharing should be added to the budget justification and should be expressed as a percentage of the total budget for the project. The dollar amount associated with this percentage must be included in the appropriate categories in the budget table. If EPA accepts an offer for a cost share/match, applicants must meet their matching/sharing commitment as a condition of receiving EPA funds. Applicants may use their own funds or other resources for voluntary match/cost/share participation if the standards at 40 CFR 30.23 or 40 CFR 31.24, as applicable, are met. Only eligible and allowable costs may be used for voluntary matches/cost shares/participation. Other Federal grants may not be used as voluntary matches or cost

shares without specific statutory authority (e.g., HUD's Community Development Block Grants)

The recipient must meet its voluntary cost share obligation and will be found in material breach of the agreement if it is not provided. Should EPA funding be reduced, the recipient cost share obligation will be adjusted based on the amount of EPA funding.

C. Threshold Eligibility Criteria:

- 1. Administrative Eligibility Criteria: Applications must substantially comply with the application submission instructions and requirements set forth in Section IV.of this announcement or else they will be rejected. However, where a page limit is expressed in Section IV with respect to the application, pages in excess of the page limitation will not be reviewed. In addition, applications must be postmarked by or electronically received through http://www.grants.gov/, as specified in Section IV of this announcement, on or before the application submission deadline published in Section IV of this announcement. The applicant is responsible for ensuring that its application correctly identifies the ETV Center to which it is proposing. Applications for more than one center that are consolidated in a single proposal will be rejected and returned to the sender without further consideration. The applicant is responsible for ensuring that its application reaches the designated person/office specified in Section IV of the announcement by the submission deadline. Applications postmarked or electronically transmitted after the submission deadline will be considered late and returned to the sender without further consideration unless the applicant can clearly demonstrate that it was late due to EPA mishandling. Applicants should confirm receipt of their application with Cynthia Johnson by telephone at (513) 569-7873 or by e-mail at johnson.cynthia@epa.gov as soon as possible after the submission deadline—failure to do so may result in your proposal [or application] not being reviewed.
- 2. Relevance Eligibility Criteria: Proposals that are found administratively acceptable will be subjected to a review for relevancy. Proposals will be rejected if they are found to lack relevance. Proposals must be responsive to the descriptions of the Centers in Section I.B. An example of a proposal that is non-responsive includes:
- (1) Application does not propose to design and implement a Center as described in Section I.B.

Applications will be reviewed for threshold eligibility purposes prior to initiation of the technical and programmatic reviews under Section V. Proposals from ineligible applicants or proposals that do not meet the eligibility criteria set forth above will be returned without further review within 15 calendar days of the date of the ineligibility determination.

- 3. <u>Center Eligibility Criteria:</u> Applicants who propose on multiple centers must submit a separate application for each center. Each application must clearly identify the ETV Center for which the application should be considered. If one application is received for more than one center consolidated into a single proposal, it will be rejected and the applicant will be notified.
- 4. Program Income (40 CFR 30.24 and 40 CFR 31) Eligibility Criteria. The applicant must demonstrate the ability to generate program income. Applicants who are unable to demonstrate the ability to generate program income will be found ineligible. Demonstration of the ability to generate program income is a mandatory criterion for award consideration. A statement concerning program income must be added to the budget justification, and estimated dollar amounts must be included in the appropriate categories in the budget table. Applicants' proposals who do not demonstrate generation of any program income will be considered non-compliant and rejected. Furthermore, the effectiveness of applicants' generation of program income will be evaluated in accordance with Section V. For examples and more information on program income, see Section I of this announcement.

*Note: Applicants whose proposals are deemed ineligible for funding consideration based on Section III Eligibility Criteria will be notified within fifteen calendar days of the ineligibility determination.

IV. APPLICATION AND SUBMISSION INFORMATION

Applicants must submit a complete, detailed application to include all of the documents described in Section IV. A., below regardless of the mode of transmission. Additional guidance on completing the documents is available at EPA's Office of Grants and Debarment (http://www.epa.gov/ogd/) Applicants may submit either a hard-copy printed application or an electronic application through grants.gov (but not both) for this announcement. Applications may not be submitted via e-mail. Instructions for both forms of submission follow in Sections IV. B. and C.

A. Application Materials

The application is made through submission of the materials described below. *It is essential that the application contain all information requested and be submitted in the formats described.* The application must contain the following items:

1. Application For Federal Assistance (SF-424). Complete the form. There are no attachments. Please be sure to include the organization fax number and e-mail address in Block 5 of the SF-424.

This form will be the *first page* of the application. Instructions for completion of the SF-424 are included with the form. (However, note that EPA requires that the entire requested dollar amount appear on the 424, not simply the proposed first year expenses.) The form must contain the original (or electronic) signature of an <u>authorized representative</u> of the applying institution. Please note that both the Principal Investigator and an administrative contact are to be identified in Section 5 of the SF-424. The applicant's DUNS number must be included. (See Section VIII for instructions on obtaining a DUNS number.)

2. Budget Information for Non-Construction Programs (SF-424A). At a minimum, complete Section B- Budget Information and Section F-Other Budget Information. The total amount of federal funding requested for the project period should be shown on line 5(e) and on line 6(k) of SF-424A. If indirect costs are included, the amount of indirect costs should be entered on line 6(j). The indirect cost rate (i.e., a percentage), the base (e.g., personnel costs and fringe benefits), and the amount should also be indicated on line 22.

For purposes of evaluations, all applicants must propose base budget costs of \$1,000,000 per year for a three year period with a total budget of \$3,000,000. However, the budget should be increased dependent on any voluntary cost share or program income being evaluated in Section V.

If amounts are budgeted for subcontracts, provide a description of the work that will be subcontracted and an explanation of why it must be subcontracted. Indicate whether the subcontracts will be awarded competitively or if not, what justification exists to make a non-competitive award.

Describe the basis for calculating the personnel, fringe benefits, travel, equipment, supplies, contractual support, and other costs identified in the itemized budget and explain the basis for their calculation. (Special attention should be given to explaining the "travel," "equipment," and "other" categories.). For any proposed equipment, identify any tangible non-expendable personal property to be purchased which has an estimated cost of \$5,000 or more per unit and a useful life of more than one year. (Personal property items with a unit cost of less than \$5,000 are considered supplies.) Tips for preparing the budget support can be found at http://www.epa.gov/ogd/recipient/tips.htm.

3. Key Contact List. EPA Key Contacts Form 5700-54 should include the Principal, Co-Investigators, and administrative contacts. A copy of this form should also be completed for major sub-agreements (contacts at the institutions of primary co-investigators).

4. Project Narrative and Supporting Documentation

The Project Narrative and Supporting Documentation should be readable in PDF, MS Word or Word Perfect WP6/7/8 for Windows and consolidated into a single file.

a. The project narrative is the technical proposal that discusses the technical approach and organizational capabilities for accomplishing the goals stated under the Funding Opportunity in Section I. In developing the project narrative, the applicant must focus on **Technical Evaluation Criteria** set forth in Section V and structure the proposal to address each in the order listed.

The project narrative, including those submitted electronically, **must clearly set** forth which ETV Center the applicant is proposing on. The applicant's proposal must be submitted in English and must not exceed thirty (30) consecutively numbered (bottom center) 8.5X11-inch pages of single-spaced, standard 12-point type with 1-inch margins. This page limitation shall include all text, tables, figures, references, attachments, and appendices. It does not include the materials requested below in items b, c, or d, A detail of the items is provided below.

- i. Detailed project summary to include a description of specific actions, methods, and timelines to be undertaken to carryout the tasks set forth in Section I.B. Discuss all aspects of the verification program and all factors that will be used to select technology areas to be verified and to prioritize the order in which the protocols, test/QA and testing will be implemented, including: importance of environmental problems, potential market for technology to be verified, potential for achieving participation of stakeholder groups, obtaining vendor participation, vendor selection methodology, technology prioritization, and any other relevant factors.
- ii. Description of the associated work products to be developed.
- iii. Description of an approach to helping make ETV internationally relevant, including fostering relationships with other country ETV programs which lead to co-verifications, co-protocol development.
- iv. Description of an approach to including sustainability and outcome metrics in evaluating new environmental technologies.
- v. Explanation of project benefits to the public, and specifically the potential audience(s) served.
- vi. Description of the roles of the applicant and proposed partners (see Section IV.G, if any.

- vii. Description of the applicant's organization and experience related to the proposed project.
- vii. Description of staff expertise/qualifications, staff knowledge, and resources or the ability to obtain them, to successfully achieve the goals of the proposed project as it relates to the Center for which the applicant is proposing.
- viii. Budget and estimated funding amounts for each work component/task. This section provides an opportunity for narrative description of the budget or aspects of the budget found in the SF-424A such as "other" and "contractual."
- ix. Description of the applicant's ability to leverage funding including any voluntary cost sharing arrangement.
- x. Proposals shall include a written description of the quality system used by the applicant to provide the framework for planning, implementing, and assessing work performed to carry out the required QA and QC activities.
- xi. Environmental Results—Outcomes and Outputs. Identify the expected quantitative and qualitative outcomes of the project (See Section I), including what measurements will be used to track your progress towards achieving the outcomes and how the results of the project will be evaluated. Identify the expected project outputs and how progress towards achieving the outputs will be tracked and measured.
- xii. Description of a plan for generating program income, including source of income, method/vehicle/activities, amounts, and any information (such as letters of commitment) that may demonstrate the availability of this income during the planned project period. Description of applicant's previous history of generating program income or similar fee-based finance arrangements.
- b. A demonstration of the applicant's programmatic capability (separate from the Project Narrative) to successfully complete the proposed project, to include documentation of past performance in meeting the reporting requirements of current or recently completed assistance agreements. Applicants should at a minimum submit a list of projects of similar size, scope and relevance to the proposed project that the applicant's proposed PI and (if applicable) co-PIs have undertaken in the past five years under assistance agreements (assistance agreements include grants and cooperative agreements but not contracts) awarded by Federal and/or non-federal governmental agencies. Include the title, the Principal Investigator, the total amount funded, the project period, a brief (1-3 lines) description of the project, and the record of resulting peer reviewed publications. Describe how you documented and/or reported on whether you were making progress towards achieving the expected results (e.g., outputs and

outcomes) under those agreements. If you were not making progress, please indicate whether, and how, you documented why not. Provide a point of contact in the primary sponsor's organization with e-mail address and telephone. The information provided will be used by the Agency in conjunction with other readily available information to evaluate the applicant's programmatic capability with respect to past performance. The Agency, as a part of the evaluation process, may contact the referenced sponsor to obtain more detailed information of the applicant's recent past performance in completing projects of similar size, scope and relevance and in meeting the reporting requirements of those agreements.

- c. Attachments: The following attachments <u>will not</u> be counted against the 30 page limitation set forth in Section 4.a. Other attachments will count against the 30-page limit.
 - 1. Resumes (biographical sketch). Provide resumes or curriculum vitae for all principal investigators and any other key personnel.
 - 2. Support Letters (if applicable). Specifically indicate how the supporting organization will assist in the project.
 - 3. Certifications and Disclosures.

All required grant certifications and disclosures shall be provided with the application. Certifications and disclosures can be obtained from the Office of Grant and Debarment website at www.epa.gov/ogd

- ASSURANCES NON-CONSTRUCTION PROGRAMS CERTIFICATION
- CERTIFICATION REGARDING LOBBYING and SF LLL (Applicable if EPA funds are over \$100,000)
- EPA FORM 4700-4 PRE-AWARD COMPLIANCE REVIEW REPORT
- QUALITY ASSURANCE NARRATIVE STATEMENT, if applicable
- COPY OF NEGOTIATED INDIRECT COST RATE AGREEMENT
- KEY CONTACTS FORM
- COMPLETE APPLICATION RECEIPT LETTER (If you want to receive notification of receipt)

B. Submission Instructions for Electronic Applications Using Grants.gov

The electronic submission of your application must be made by an official representative of your institution who is registered with Grants.gov and is authorized to sign applications for Federal assistance. For more information, go to http://www.grants.gov and click on "Get Registered" on the left side of the page. *Note*

that the registration process may take a week or longer to complete. If your organization is not currently registered with Grants.gov, please encourage your office to designate an AOR and ask that individual to begin the registration process as soon as possible.

To begin the application process under this grant announcement, go to http://www.grants.gov and click on "Apply for Grants" on the left side of the page. Then click on "Apply Step 1: Download a Grant Application Package and Instructions" to download the PureEdge viewer and obtain the application package. You may retrieve the application package by entering the Funding Opportunity Number, EPA-ORD-NRMRL-CI-08-01 or the appropriate CFDA number (CFDA 66.511), in the space provided. Then complete and submit the application package as indicated. You may also be able to access the application package by clicking on the button "Application" at the top right of the synopsis page for this announcement on http://www.grants.gov (to find the synopsis page, go to http://www.grants.gov and click on the "Find Grant Opportunities" button on the left side of the page and then go to Search Opportunities/Browse by Agency and then go to EPA opportunities).

Application Submission Deadline: Your organization's AOR must submit your complete application electronically to EPA through Grants.gov (http://www.grants.gov) no later than 4:30 pm EDT on **January 28, 2008.**

Please submit *all* of the proposal/application materials described below.

Note: Microsoft Vista and Word 2007 Users

Please note that Grants.gov does not currently support the new Microsoft Vista Operating system. The PureEdge software used by Grants.gov for forms is not compatible with Vista. Grants.gov will be reviewing this new product to determine if it can be supported in the future.

In addition, the new version of Microsoft Word saves documents with the extension .DOCX. The Grants.gov system does not process Microsoft Word documents with the extension .DOCX. When submitting Microsoft Word attachments to Grants.gov, please use the version of Microsoft Word that ends in .DOC. If you have any questions regarding this matter please e-mail the Grants.gov Contact Center at support@grants.gov or call 1-800-518-4726.

The following forms and documents are required to be submitted under this announcement:

- 1. Application for Federal Assistance (SF-424)
- 2. Budget Information for Non-Construction Programs (SF-424A)
- 3. Key Contact List
- 4. Project Narrative and Supporting Documentation

Documents 1 through 4 listed under Application Materials in Section IV.A of this announcement should appear in the "mandatory Documents" box on the grants.gov Grant Application Package page.

For documents 1-3, click on the appropriate form and then click "Open Form" below the box. The fields that must be completed will be highlighted in yellow. Optional fields and completed fields will be displayed in white. If you enter an invalid response or incomplete information in a field, you will receive an error message. When you have finished filling out each form, click "Save". When you return to the electronic Grant Application Package page, click on the form you just completed, and then click on the box that says, "Move Form to Submission List". This action will move the document over to the box that says, "Mandatory Completed Documents for Submission."

For document 4, you will need to attach electronic files. Prepare each of the documents as described above in items 4.a through 4.e of Section IV.A and save the documents to your computer as an MS Word, PDF or WordPerfect file. When you are ready to attach your proposal to the application package, click on "Project Narrative Attachment Form", and open the form. Click "Add Mandatory Project Narrative File", and then attach your proposal (previously saved to your computer) using the browse window that appears. You may then click "View Mandatory Project Narrative File" to view it. Enter a brief descriptive title of your project in the space beside "Mandatory Project Narrative File Filename", the filename should be no more than 40 characters long. If there are other attachments that you would like to submit to accompany your proposal, you may click "Add Optional Project Narrative File" and proceed as before. When you have finished attaching the necessary documents, click "Close Form". When you return to the "Grant Application Package" page, select "Project Narrative Attachment Form" and click "Move Form to Submission List". The form should now appear in the box that says, "Mandatory Completed Documents for Submission."

Once you have finished filling out all of the forms/attachments and they appear in one of the "Completed Documents for Submission" boxes, click the "Save" button that appears at the top of the Web page. It is suggested that you save the document a second time, using a different name, since this will make it easier to submit an amended package later if necessary. Please use the following format when saving your file: "Applicant Name – FY 07 (grant category; e.g., Assoc Prog Supp) – 1st Submission" or "Applicant Name – FY 07 (grant category) – Back-up Submission." If it becomes necessary to submit an amended package at a later date, then the name of the 2nd submission should be changed to "Applicant Name – FY 07 (grant category) – 2nd Submission."

Once your application package has been completed and saved, send it to your AOR for submission to the U.S. EPA through Grants.gov. Please advise your AOR to close all other software programs before attempting to submit the application package through Grants.gov.

In the "Application Filing Name" box, your AOR should enter your organization's name (abbreviate where possible), the fiscal year (e.g., FY07), and the grant category (e.g., Assoc Prog Supp). The filing name should not exceed 40 characters. From the "Grant Application Package" page, your AOR may submit the application package by clicking the "Submit" button that appears at the top of the page. The AOR will then be asked to verify the agency and funding opportunity number for which the application package is being submitted. If problems are encountered during the submission process, the AOR should reboot his/her computer before trying to submit the application package again. [It may be necessary to turn off the computer (not just restart it) before attempting to submit the package again.] If the AOR continues to experience submission problems, he/she should contact grants.gov for assistance (phone: 1-800-518-4726, e-mail: http://www.grants.gov/help/help.jsp). If submission problems are not quickly resolved, contact the NRMRL electronic submission support person, Cynthia Johnson at 513/569-7873 or johnson.cynthia@epa.gov.

Application packages submitted through grants.gov will be time/date stamped electronically.

If you have not received a confirmation of receipt from EPA (not from grants.gov) within 30 days of the application deadline, please contact the individual identified in Section VII. Failure to do so may result in your application not being reviewed.

C. Submission Instructions for Printed Hard-Copy Applications

Submit a complete application including all of the supporting documents identified in Section IV.A of this announcement for each ETV Center the applicant is proposing on (see Section III. for eligibility requirements) to the following address. The complete application *must be* sent through regular mail, express mail, or a major courier and be postmarked by the closing date identified therein, <u>January 28, 2008</u>: Applications must clearly identify the ETV Center. EPA will not consider applications for multiple centers that are consolidated in a single proposal.

US Environmental Protection Agency
National Risk Management Research Laboratory/Immediate Office
ATTN: Cynthia Johnson
MS 207
ETV Center (specify which Center the applicant's proposal is seeking consideration)
26 W. Martin Luther King Drive
Cincinnati, OH 45268

Because of security concerns, applications cannot be personally delivered. To be considered timely, printed applications must be post marked by 4:30 p.m. local time and mailed to the location above by the U.S. Postal Service or a major courier. Applications post marked after the deadline will not be considered and will be returned to the

submitter. Printed hard-copy applications, including all documents stated in Section IV.A. above, must be submitted in the **original with 4 copies as set forth above** and should be double-sided. Grant application forms can be found at http://www.epa.gov/ogd/AppKit/application.htm

D. Submission Dates and Times

All applications must be postmarked or received electronically via grants.gov on or before January 28, 2008, 4:30 p.m. EDT. Proposals received after the closing date and time will not be considered for funding.

E. Intergovernmental Review

Executive Order 12372, "Intergovernmental Review of Federal Programs," does not apply to the Office of Research and Development's research and training programs unless EPA has determined that the activities that will be carried out under the applicants' proposal (a) require an Environmental Impact Statement (EIS), or (b) do not require an EIS but will be newly initiated at a particular site and require unusual measures to limit the possibility of adverse exposure or hazard to the general public, or (c) have a unique geographic focus and are directly relevant to the governmental responsibilities of a State or local government within that geographic area.

If EPA determines that Executive Order 12372 applies to an applicant's proposal, the applicant must follow the procedures in 40 CFR Part 29. The applicant must notify their state's single point of contact (SPOC). To determine whether their state participates in this process, and how to comply, applicants should consult http://www.whitehouse.gov/omb/grants/spoc.html. If an applicant is in a State that does not have a SPOC, or the State has not selected research and development grants for intergovernmental review, the applicant must notify directly affected State, areawide, regional and local entities of its proposal.

EPA will notify the successful applicant(s) if Executive Order 12372 applies to its proposal prior to award.

F. Funding Restrictions

Funding of the first year of the award for <u>each</u> ETV Center is anticipated to be up to \$1,000,000 per year and each additional year for total EPA funding of up to \$3,000,000. All EPA funding is <u>contingent upon availability of funds</u> and satisfactory performance during the budget period.

Management Fees: When formulating budgets for proposals/applications, applicants must not include management fees or similar charges in excess of the direct costs and indirect costs at the rate approved by the applicants cognizant audit agency, or at the rate provided for by the terms of the agreement negotiated with EPA. The term "management fees or similar charges" refers to expenses added to the direct costs in order to accumulate and reserve funds for ongoing business expenses, unforeseen liabilities, or for other similar costs that are not allowable under EPA assistance agreements. Management fees or similar charges may not be used to improve or expand the project funded under this agreement, except to the extent authorized as a direct cost of carrying out the scope of work.

G. Partnerships

EPA awards funds to one eligible applicant as the recipient even if other eligible recipient is accountable to EPA for the proper expenditure of funds.

Funding may be used to provide subgrants or subawards of financial assistance, which includes using subawards or subgrants to fund partnerships, provided the recipient complies with applicable requirements for subawards or subgrants including those contained in 40 CFR Parts 30 or 31, as appropriate. Applicants must compete contracts for services and products, including consultant contracts, and conduct cost and price analyses, to the extent required by the procurement provisions of the regulations at 40 CFR Parts 30 or 31, as appropriate. The regulations also contain limitations on consultant compensation. Applicants are not required to identify subawardees/subgrantees and/or contractors (including consultants) in their proposal/application. However, if they do, the fact that an applicant selected for award has named a specific subawardee/subgrantee, contractor, or consultant in the proposal/application EPA selects for funding does not relieve the applicant of its obligations to comply with subaward/subgrant and/or competitive procurement requirements as appropriate. Please note that applicants may not award sole source contracts to consulting, engineering or other firms assisting applicants with the proposal solely based on the firm's role in preparing the proposal/application.

Successful applicants cannot use subgrants or subawards to avoid requirements in EPA grant regulations for competitive procurement by using these instruments to acquire commercial services or products from for-profit organizations to carry out its assistance agreement. The nature of the transaction between the recipient and the subawardee or subgrantee must be consistent with the standards for distinguishing between vendor transactions and subrecipient assistance under Subpart B Section .210 of OMB Circular A-133, and the definitions of subaward at 40 CFR 30.2(ff) or subgrant at 40 CFR 31.3, as applicable. EPA will not be a party to these transactions. Applicants acquiring commercial goods or services must comply with the competitive procurement standards

in 40 CFR Part 30 or 40 CFR Part 31.36 and cannot use a subaward/subgrant as the funding mechanism.

Section V. of the announcement describes the evaluation criteria and evaluation process that will be used by EPA to make selections under this announcement. During this evaluation, except for those criteria that relate to the applicant's own qualifications, past performance, and reporting history, the review panel will consider, as appropriate and relevant, the qualifications, expertise, and experience of:

- (i) an applicant's named subawardees/subgrantees identified in the proposal/application if the applicant demonstrates in the proposal/application that if it receives an award that the subaward/subgrant will be properly awarded consistent with the applicable regulations in 40 CFR Parts 30 or 31. For example, applicants must not use subawards/subgrants to obtain commercial services or products from for profit firms or individual consultants.
- (ii) an applicant's named contractor(s), including consultants, identified in the proposal/application if the applicant demonstrates in its proposal/application that the contractor(s) was selected in compliance with the competitive Procurement Standards in 40 CFR Part 30 or 40 CFR 31.36 as appropriate. For example, an applicant must demonstrate that it selected the contractor(s) competitively or that a proper non-competitive sole-source award consistent with the regulations will be made to the contractor(s), that efforts were made to provide small and disadvantaged businesses with opportunities to compete, and that some form of cost or price analysis was conducted. EPA may not accept sole source justifications for contracts for services or products that are otherwise readily available in the commercial marketplace.

EPA will not consider the qualifications, experience, and expertise of proposed subawardees/subgrantees and/or contractors during the proposal/application evaluation process unless the applicant complies with these requirements.

H. Modifications to this Announcement

Modifications to this announcement will be posted on grants.gov under this Funding Opportunity Number and the due date for applications will be extended if deemed appropriate.

I. Confidentiality

By submitting an application in response to this solicitation, the applicant grants the EPA permission to make limited disclosures of the application to technical reviewers both within and outside the Agency for the express purpose of assisting the Agency with evaluating the application. Information from a pending or unsuccessful application will be kept confidential to the fullest extent allowed under law; information from a successful application may be publicly disclosed to the extent permitted by law.

In accordance with 40 CFR 2.203, applicants may claim all or a portion of the application/proposal as confidential business information (for example, hypotheses or methodologies contained in the research narrative that the applicant wishes to protect from possible public disclosure). EPA will evaluate confidentiality claims in accordance with 40 CFR Part 2. Applicants must clearly mark applications/proposals or portions of applications/proposals they claim as confidential. If no claim of confidentiality is made, the EPA is not required to make an inquiry to the applicant otherwise required by 40 CFR 2.204(c)(2) prior to disclosure.

V. Application Review Information

Each application that meets the eligibility requirements set forth in Section III will be subjected to technical and programmatic reviews. The technical review will be conducted by a panel consisting of at least two non-EPA reviewers and one EPA reviewer who are able to demonstrate expertise and a lack of any conflict of interest. The purpose is to evaluate the scientific merit of the proposal and the capability of the applicant to complete the project as proposed. The programmatic review will be conducted by other qualified EPA personnel who are able to demonstrate a lack of any conflict of interest. The purpose is to evaluate the applicant's past performance in conducting projects of similar size, scope and relevance.

The following criteria will be used in the evaluation process:

A. Evaluation Criteria

Each eligible proposal will be evaluated according to the criteria set forth below. Applicants should directly and explicitly address these criteria as part of their proposal submittal. Each application will be rated under a points system, with a total of 100 points possible.

Technical Evaluation Criteria

Criteria Points

1. Project Summary/Technical Approach/Key Personnel: Under this criterion, the Agency will evaluate the following factors: (i) the extent and quality to which the proposal narrative includes a well-conceived strategy addressing all the requirements in Section I, Part B (Description), including how the applicant will conduct the verification partner organization activities and responsibilities, develop protocols with quality assurance provisions; solicit vendor participation, perform verification testing and facilities equipment, schedule for start up of the

Center within 90 calendar days of award and plan for execution of activities thereafter; etc. (15 points); (ii) staff expertise/qualifications, staff knowledge, and resources or the ability to obtain them, to successfully achieve the goals of the proposed project. (Include key and support personnel, including formal education, training, licenses, or other relevant training as it relates to expertise in conducting and/or overseeing environmental technology described in Section I). (15 points)

- 2. Environmental Results—Outcomes and Outputs: The extent and quality to which the proposal narrative addresses Section I, Part C. (Environmental Results-EPA Strategic Plan Linkage and Anticipated Outcomes/Outputs) will be evaluated. Proposals should describe the evaluative component of the project, including how the applicant's success in achieving the expected project outcomes and outputs, including technical specifics will be tracked and measured.
- 3. <u>Budget</u>: 1) demonstrate the extent to which the proposed project budget is appropriate to accomplish the proposed goals, objectives, and measurable environmental outcomes (**5 points**); 2) provide a description of any voluntary cost sharing arrangement including the amount of the cost share expressed as a percentage of the total project budget, and the identity of anticipated sources of funds or in-kind support that will be used for the voluntary cost share (**10 points**).
- 4. <u>Program Income Plan:</u> Demonstrate: (1) The effectiveness of the plan to generate program income to carryout project activities (**5 points**); (2) The history that your organization has with generation of program income or similar fee-based financial arrangements, including planned level of income and actual level of income generated (**15 points**).

Programmatic Evaluation Criteria

5. <u>Past Performance—Programmatic Capability and Reporting on Environmental Results:</u> Under this criterion, the Agency will evaluate the applicant's technical ability to successfully complete and manage the proposed project taking into account the following factors:

The applicant's demonstration of the programmatic capability to successfully carry out the proposed project taking into account such factors as its: (i) past performance of the proposed Lead Principal Investigator and (if applicable)

5

15

co-Principal Investigator in successfully completing federally or non-federally funded assistance agreements of similar size, scope and relevance to the proposed project during the past five years, (ii) history of meeting reporting requirements on prior or current assistance agreements (during the past five years) with federal and/or non-federal organizations and submitting acceptable final technical reports, (iii) past performance in documenting and/or reporting on its progress towards achieving the expected outcomes and outputs (e.g., results) under prior or current assistance agreements (during the past five years) with federal and/or non-federal organizations (and if such progress was not made whether the documentation and/or reports satisfactorily explained why not), and (iv) organizational experience and plan for timely and successfully achieving the objectives of the proposed project.

Organizations that have no relevant or available past performance and/or reporting information will be given a neutral rating for those criteria. In evaluating applicants under this criterion the Agency may consider information from other sources including agency files (e.g., the EPA's Grantee Compliance Assistance Initiative Database) and prior/current grantors (e.g., to verify and/or supplement the information provided by the applicant).

If EPA accepts an offer for a voluntary cost share/match, applicants must meet their matching/sharing commitment as a condition of receiving EPA funds. Applicants may use their own funds or other resources for voluntary match/cost/share participation if the standards at 40 CFR 30.23 or 40 CFR 31.24, as applicable, are met. Only eligible and allowable costs may be used for voluntary matches/cost shares/participation. Other Federal grants may not be used as voluntary matches or cost shares without specific statutory authority (e.g., HUD's Community Development Block Grants).

In accordance with OMB Cost Principles, fundraising costs are not eligible and allowable costs under EPA cooperative agreements.

B. Review and Selection Process:

Evaluation Review Process: The eligibility review discussed in Section III will be conducted by EPA personnel who are not part of the technical review panel. The technical review panel, which reviews the technical proposal for scientific merit and organizational capabilities, shall consist of at least one internal EPA reviewer and at least two non-EPA reviewers who are able to demonstrate technical expertise and a lack of any conflict of interest. The technical review panel will review the proposal against the criteria (Criterion 1 -5) above identified as Evaluation Criteria and rank the proposal based upon this evaluation. The programmatic review panel will consist of one or more EPA personnel who are not part of the technical evaluation panel and who are able to

demonstrate a lack of any conflict of interest. The programmatic reviewer(s) will review the proposal against Criterion 5 as identified as Programmatic Evaluation Criteria above and rank the proposals based upon this evaluation. The results of the Technical and Programmatic Evaluations will be combined to determine the overall ranking of each evaluated applicant.

Source Selection: EPA will make a selection of the applicant for award based upon the combined rankings of the technical and programmatic reviews as discussed above. EPA may negotiate changes to the proposal with the selected applicant so long as they do not affect the integrity of the competition. For example, EPA will discuss significant comments received from the technical reviewers, aspects of the budget that may be questionable, the proposed terms and conditions for the agreement, and the nature and extent of EPA collaboration. The Decision Official is an Office of Research and Development (ORD) manager who will determine which applicant should receive the award based on the combined technical and programmatic rankings.

Anticipated Announcement and Award Dates: The anticipated award date is April 30, 2008.

VI. Award Administration Information

A. Award Notices: Notice of award will be made in writing by an official in the EPA Grants Administration Division. Preliminary selection by the Decision Official in the Office of Research and Development does not guarantee an award will be made. Applicants are cautioned that only a grants officer can bind the Government to the expenditure of funds. No commitment on the part of EPA should be inferred from technical or budgetary discussions with an EPA Program Official. A Principal Investigator or organization that makes financial or personnel commitments in the absence of a grant or cooperative agreement signed by the EPA Grants Award Official does so at their own risk.

B. Disputes: Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005) which can be found at http://www.epa.gov/ogd/competition/resolution.htm. Copies of these procedures may also be requested by contacting the Agency Contact identified in Section VII.

C. Administrative and National Policy Requirements:

Regulations and OMB Coverage:

Grants and agreements with institutions of higher education, hospitals, and other non-profit organizations are subject to 40 CFR Parts 30 and 40 and OMB Circular A-122 for non-profits and A-21 for institutions of higher learning.

Grants and agreements with state, local, and tribal governments are subject to 40 CFR Parts 31 and 40 and OMB Circular A-87.

Animal and Human Subject Research:

- a. Human Subjects: A grant applicant must agree to meet all EPA requirements for studies using human subjects prior to implementing any work with these subjects. These requirements are given in 40 C.F.R. § 26. For observational studies involving children, pregnant women, or nursing mothers please refer to Subparts B & D of 40 C.F.R. § 26. U.S. Department of Health and Human Services regulations at 45 C.F.R. § 46.101 (e) have long required "...compliance with pertinent Federal laws or regulations which provide additional protection for human subjects." EPA's regulation at 40 C.F.R. Part 26 is such a pertinent Federal regulation. Therefore, the applicant's Institutional Review Board (IRB) approval must state that the applicant's study meets the EPA's regulations at 40 C.F.R. § 26. No work involving human subjects, including recruiting, may be initiated before the EPA has received a copy of the applicant's IRB approval of the project and the EPA has also provided approval. Where human subjects are involved in the research, the recipient must provide evidence of subsequent IRB reviews, including amendments or minor changes of protocol, as part of annual reports.
- b. Animal Welfare: A grant recipient must agree to comply with the Animal Welfare Act of 1966 (P.L. 89-544), as amended, 7 U.S.C. 2131-2156. The recipient must also agree to abide by the "U.S. Government Principles for the Utilization and Care of Vertebrate Animals used in Testing, Research, and Training." (50 Federal Register 20864-20865 (May 20,1985))
- * This clause applies if a research facility (defined as any school (except elementary or secondary), institution, organization or person) receives funds under a grant from a federal agency for the purpose of carrying out research, tests, or experiments involving animals.

Data Access and Information Release: The Office of Management and Budget (OMB) Circular A-110 has been revised to provide public access to research data through the Freedom of Information Act (FOIA) under some circumstances. Data that are (1) first produced in a project that is supported in whole or in part with Federal funds and (2) cited publicly and officially by a Federal agency in support of an action that has the force and effect of law (i.e., a regulation) may be accessed through FOIA. If such data are requested by the public, the EPA must ask for it, and the grantee must submit it, in accordance with A-110 and EPA regulations at 40 C.F.R. 30.36.

DUNS Number: Grant applicants are required to provide a Dun and Bradstreet (D&B), Data Universal Numbering System (DUNS) number when applying for Federal grants or cooperative agreements. OMB has determined that there is a need for improved

statistical reporting of Federal grants and cooperative agreements. Use of the DUNS number government-wide will provide a means to identify entities receiving those awards and their business relationships. The identifier will be used for tracking purposes, and to validate address and point of contact information.

A DUNS number will be required whether an applicant is submitting a paper application or using the government-wide electronic portal (Grants.gov). The DUNS number will supplement other identifiers required by statute or regulation, such as tax identification numbers. Organizations can receive a DUNS number in one day, at no cost, by calling the dedicated toll-free DUNS Number request line at 1–866–705–5711. Individuals who would personally receive a grant or cooperative agreement award from the Federal government apart from any business or non-profit organization they may operate are exempt from this requirement. The website where an organization can obtain a DUNS number is: http://www.dnb.com/us/. EXIT Disclaimer

Non-profit Administrative Capability: Non-profit applicants that are recommended for funding under this announcement are subject to pre-award administrative capability reviews consistent with Section 8b, 8c and 9d of EPA Order 5700.8 - Policy on Assessing Capabilities of Non-Profit Applicants for Managing Assistance Awards (http://www.epa.gov/ogd/grants/award/5700_8.pdf). In addition, non-profit applicants that qualify for funding may, depending on the size of the award, be required to fill out and submit to the Grants Management Office the Administrative Capabilities Form with supporting documents contained in Appendix A of EPA Order 5700.8.

- **D. Programmatic Terms and Conditions:** Terms and conditions will be negotiated with the selected recipient covering the following requirements:
 - The nature and extent of collaboration between EPA and the recipient.
 - OBM clearance shall be obtained prior to the collection of identical information from 10 or more non-Federal respondents.

Reporting Requirements

1. Quarterly Progress Report

Quarterly progress reports and a detailed final report will be required. Quarterly reports shall be submitted no later than 15 calendar days after the end of the quarter and shall contain the following:

- Narrative discussion of planned activities for the quarter and progress and findings to date
- Cost/schedule states (planned and actual)
- Revised schedule/milestones if appropriate

• Appendices, including meeting reports, trip reports, test results, data summaries, etc.

2. Final Report

The final report shall be completed within 90 calendar days of the completion of the period of performance. The final report should include: summary of the project or activity, advances achieved and costs of the project or activity. In addition, the final report shall discuss the problems, successes, and lessons learned from the project or activity that could help overcome structural, organizational or technical obstacles to implementing a similar project elsewhere.

3. Quality Assurance Management Plan

A quality assurance management plan shall be submitted by each Center within 90 calendar days post award of this agreement. ETV quality assurance guidance is located in the ETV QMP, Section 2.0. Recipients shall submit a Center QMP prepared in accordance with the EPA Requirements for Quality Management Plans (QA/R-2) and the requirements as described in the latest version of the ETV QMP. The QMP must be approved by the ETV center project officer and EPA center quality manager before testing begins.

Awardees that intend to perform verifications through contracts or subcontracts with other organizations shall ensure that EPA quality requirements and controls incumbent upon the awardee are passed to and complied with by its contractors or subcontractors. Accordingly, agreements between the verification organization and its contractors shall require compliance with the programmatic ETV QMP, the verification organization's QMP, and other relevant QA requirements.

4. ETV Database Reporting

- a. The cooperator shall provide quarterly input to EPA database for tracking stakeholders, progress by technology category, annual cost information, outcomes, and other reporting as requested .
- b. Outcomes Database Reporting. The cooperator shall populate the outcomes modules on a quarterly basis by providing updates of outcomes, such as pollutant and emission reduction, resource conservation, financial and economic regulatory compliance, technology use and acceptance and scientific advancement. It will include a module to track "incidents" when each Center learns of ETV impacts.

VII. Agency Contact

The agency contact for this RFA is Cynthia Johnson at 26 W. MLK Drive, Cincinnati, Ohio 45268.

E-mail: johnson.cynthia@epa.gov (applications may not be submitted via e-mail)

VIII. Other Information

Questions: Questions about this RFA should be submitted in writing by <u>December 31</u>, <u>2007</u>. Do not attempt to seek information regarding this RFA from any source other than that identified in Section VII. Questions that are considered significant will be answered via an amendment to this RFA.

Definitions:

For a list of ETV Definitions please review the ETV Quality Management Plan, Section viii at http://www.epa.gov/etv/pubs/ETV_02_QMP.pdf